

IGW/2617



Docket No.: W1878.0206  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Wataru Hattori

Application No.: 10/528,605

Confirmation No.: n/a

Filed: March 21, 2005

Art Unit: 2617

For: FILTER AND COMPOSITE FILTER, FILTER  
ASSEMBLY, INTEGRATED CIRCUIT CHIP  
AND ELECTRONIC DEVICE WHICH  
CONTAIN SAME, AND FREQUENCY  
CHARACTERISTIC CHANGING METHOD  
THEREFOR

Examiner: Not Yet Assigned

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicant hereby requests that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicant, a copy of which is attached hereto, has an error in

Missing Assignment information. Please correct Assignment information to reflect executed Assignment as submitted on 03/21/2005;

NEC Corporation

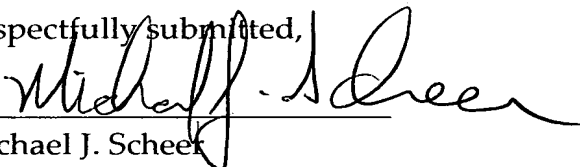
Applicant additionally requests that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

No fee is require, however, The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-2215, under Order No. W1878.0206.

Dated: February 15, 2007

Respectfully submitted,

By

  
Michael J. Scheer

Registration No.: 34,425

DICKSTEIN SHAPIRO LLP

1177 Avenue of the Americas

41st Floor

New York, New York 10036-2714

(212) 277-6500

Attorney for Applicant



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/528,605	03/21/2005	2617	1000	WV1878.0206	18	22	2

FEB 21 2007

32172

DICKSTEIN SHAPIRO LLP  
1177 AVENUE OF THE AMERICAS (6TH AVENUE)  
NEW YORK, NY 10036-2714

CONFIRMATION NO. 3996

FILING RECEIPT



\*OC000000021818045\*

Date Mailed: 01/11/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Wataru Hattori, Tokyo, JAPAN;

**Power of Attorney:** The patent practitioners associated with Customer Number 32172.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP03/11837 09/17/2003

## Foreign Applications

JAPAN 2002-272564 09/19/2002

If Required, Foreign Filing License Granted: 01/03/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/528,605**

Projected Publication Date: 04/12/2007

Non-Publication Request: No

Early Publication Request: No

Title

DSMO FILE NO. W1878.0206

DUE: \_\_\_\_\_

C/L: \_\_\_\_\_

ENTERED BY: af. sATTY: MJS / form

Filter and composite filter, filter assembly, integrated circuit chip and electronic device which contain same, and frequency characteristic changing method therefor

### **Preliminary Class**

455

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

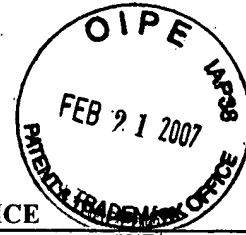
This license is to be retained by the licensee and may be used at any time on or after the effective date thereof

unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



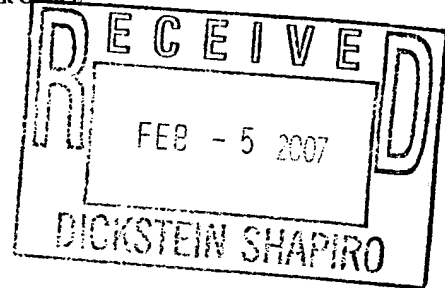
UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 30, 2007

PTAS

MICHAEL J. SCHEER  
DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP  
1177 AVENUE OF THE AMERICAS  
41ST FLOOR  
NEW YORK, NY 10036-2714



UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 03/21/2005

REEL/FRAME: 018030/0659  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: W1878.0206

ASSIGNOR:  
HATTORI, WATARU

DOC DATE: 03/14/2005

ASSIGNEE:  
NEC CORPORATION  
7-1, SHIBA 5-CHOME, MINATO-KU  
TOKYO, JAPAN

SERIAL NUMBER: 10528605

FILING DATE: 03/21/2005

PATENT NUMBER:

ISSUE DATE:

TITLE: FILTER AND COMPOSITE FILTER, FILTER ASSEMBLY, INTEGRATED CIRCUIT  
CHIP AND ELECTRONIC DEVICE WHICH CONTAIN SAME, AND FREQUENCY  
CHARACTERISTIC CHANGING METHOD THEREFOR

DSMO FILE NO. W1878.0206

DUE: \_\_\_\_\_

C/L: \_\_\_\_\_

ENTERED BY: A. J.

ATTY: US Formalities

018030/0659 PAGE 2

MAURICE CARTER, PARALEGAL  
ASSIGNMENT SERVICES BRANCH  
PUBLIC RECORDS DIVISION

07-11-2006



103271564

ATION FORM COVER SHEET  
PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)/Execution Date(s):  
Wataru Hattori

Execution Date(s): March 14, 2005

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
☐ Other

2. Name and address of receiving party(ies)

Name: NEC Corporation

Internal Address:

Street Address:

NEC Corporation  
7-1, Shiba 5-chome,  
Minato-ku,  
Tokyo  
Japan

City:

State:

Country:

Zip:

Additional name(s) & address(es) attached: ☐ Yes ☒ No

## 4. Application or patent number(s):

A. Patent Application No.(s)

This application

☒ This document is being filed together with a new application.

B. Patent No.(s)

10/528605

Additional numbers attached?

☐ Yes ☒ No

## 5. Name and address to whom correspondence concerning document should be mailed:

Name: Michael J. Scheer  
DICKSTEIN SHAPIRO MORIN & OSHINSKY  
LLP

Internal Address: Atty. Dkt.: W1878.0208

Street Address: 1177 Avenue of the Americas  
41st Floor

40.00 DP

City: New York

State: NY Zip: 10036-2714

Phone Number: (212) 896-5472

Fax Number: (212) 997-9880

Email Address: ScheerM@DSMO.com

## 9. Signature:

Signature

Michael J. Scheer - 34,425

Name of Person Signing

March 21, 2005  
Date

## 6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 1.21(h) &amp; 3.41) \$ 40.00

- ☒ Authorized to be charged by credit card  
☐ Authorized to be charged to deposit account  
☐ Enclosed  
☐ None required (government interest not affecting title)

## 8. Payment Information

a. Credit Card Last 4 Numbers 1002  
Expiration Date 02/28/06b. Deposit Account Number  
Authorized User Name

Total number of pages including cover sheet, attachments, and documents:

2